

FORM PTO-1390 (REV. 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 60096-011
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/509788</b>
INTERNATIONAL APPLICATION NO. PCT/US2002/40107	INTERNATIONAL FILING DATE 16 December 2002 (16.12.2002)	PRIORITY DATE CLAIMED 12 April 2002 (12.04.2002)	
TITLE OF INVENTION APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS			
APPLICANT(S) FOR DO/EO/US ILLINOIS VALLEY HOLDING COMPANY			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154 (d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>			
Items 11 to 20 below concern document(s) or information included:			
<ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: Check, Petition to Make Special Because of Applicant's Age and Declaration of John M. Bailey</li> </ol>			



DTOS Rec'd PCT/PTO .30 SEP 2004

FORM PTO-1390  
REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
60096-011

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)  
**10/509788**

INTERNATIONAL APPLICATION NO.  
PCT/US2002/40107

INTERNATIONAL FILING DATE  
16 December 2002 (16.12.2002)

PRIORITY DATE CLAIMED  
12 April 2002 (12.04.2002)

TITLE OF INVENTION  
APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS

APPLICANT(S) FOR DO/EO/US  
ILLINOIS VALLEY HOLDING COMPANY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items.

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009258 00711000101 550209488

- document(s) or information included:
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☒ An assignment document for recording. *A separate cover sheet* is included.
  13. ☒ A preliminary
  14. ☐ An Appeal
  15. ☐ A substantive
  16. ☐ A power
  17. ☐ A comparison
  18. ☐ A second
  19. ☐ A second
  20. ☒ Other item

ASSISTANT COMMISSIONER FOR PATENTS,  
KINDLY ACKNOWLEDGE RECEIPT BY DATE STAMPING AND RETURNING.

- Applicant(s): *John Bailey*  
Title: *Apparatus and method for filtering particulate and reducing NOx emissions*  
Transmittal Letter(s): *2* Pages  
Specification: *1* Pages  
Number of Claims: *1* Pages  
Abstract: *1* Pages  
Drawings: *1* Sheet(s) Formal *1* Informal  
Declaration: *1* signed *1* unsigned  
Amendment/Response  
Assignment & Recordation Form Cover Sheet  
Petition under 37 CFR 1.136 (a)  
Information Disclosure Statement Transmittal, Form 1449 w/Ref.  
Part B Issue Fee Transmittal  
PCT Request  
PCT Demand  
Fee Calculation Sheet  
Notice of Appeal ☐ Appeal Brief  
Statement under 37 CFR 3.73 (b)  
PCT EZ Diskette  
Certificate of Express Mailing  
Application Data Sheet  
Other *Article 19 Amendment, Petition to Make Special*  
*Because of Applicant's Age and Declaration of John M. Bailey*

PCT/US#: *US 2002/40107*  
Filed: *16.12.2002*  
Att/Client/Matter No.: *60096-011*  
☐ Small Entity Declaration  
☒ Fee of \$ *645.00* Paid by *45 Amy*  
☐ Deposit Acct. No. 08-3460  
☒ Check No. *9258*  
Date Mailed: *9-30-2004*  
Express Mail No.: *EV458945610US*

- 1.825.

John M. Bailey

**10/509788**

DTOS Rec'd PCT/PTO .30 SEP 2004

G:PEORIA\LANECHR

Rev. 6/04

**EXPRESS MAIL CERTIFICATE OF MAILING (37 CFR 1.10)****Express Mail No.: EV 458945610 US**

Docket No.

60096-011

**10/509788**

Applicant(s): John Bailey

International Application No.  
PCT/US2002/40107International Filing Date  
16 December 2002  
(16.12.2002)Priority Date Claimed  
12 April 2002  
(12.04.2002)

DO/EO/US

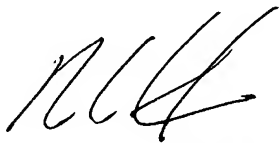
Title:

APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS

TO THE COMMISSIONER OF PATENTS AND TRADEMARKS

Transmitted herewith is:

- ☒ Transmittal Letter to the US Designated/Elected Office Concerning a Filing Under 35 USC 371  
☒ Article 19 Amendments  
☒ Declaration of Applicant  
☒ Assignment and Assignment Recordation Form  
☒ Check in the amount of \$642.00  
☒ Acknowledgement Card  
☒ Preliminary Amendment  
☒ Petition to Make Special Because of Applicant's Age  
☒ Declaration of John M. Bailey

☐  
☐  
☐  
☐  
☐  
☐


Signature

Dated:

Sept 30, 2004

Robert C. Haldiman, #45,437  
 Husch & Eppenger, LLC  
 190 Carondelet Plaza  
 St. Louis MO 63105-3441  
 309-637-4900  
 309-637-4928 FAX

Customer No. 029493

I certify that the document and fee is being deposited on  
 9-30-2004 with the U.S. Postal Service as  
 Express Mail under 37 C.F.R. 1.10 and is addressed to the  
 Commissioner for Patents, P.O. Box 1450, Alexandria, VA  
 22313-1450.

Express Mail No.: EV 458945610 US



Signature of Person Mailing Correspondence

Deborah Lane-Christian

Typed or Printed Name of Person Mailing Correspondence